

Privacy Act Statement. Every registration statement, short form registration statement, supplemental statement, exhibit, amendment, copy of informational materials or other document or information filed with the Attorney General under this Act is a public record open to public examination, inspection and copying during the posted business hours of the Registration Unit in Washington, D.C. One copy of every such document, other than informational materials, is automatically provided to the Secretary of State pursuant to Section 6(b) of the Act, and copies of any and all documents are routinely made available to other agencies, departments and Congress pursuant to Section 6(c) of the Act. The Attorney General also transmits a semi-annual report to Congress on the Administration of the Act which lists the names of all agents registered under the Act and the foreign principals they represent. This report is available to the public. Finally, the Attorney General intends, at the earliest possible opportunity, to make these public documents available on the Internet on the Department of Justice World Wide Web site.

Public Reporting Burden. Public reporting burden for this collection of information is estimated to average .49 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to Chief, Registration Unit, Criminal Division, U.S. Department of Justice, Washington, DC 20530; and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, DC 20503.

*Furnish this exhibit for EACH foreign principal listed in an initial statement  
and for EACH additional foreign principal acquired subsequently.*

1. Name and address of registrant Rick Swartz and Associates, Inc. 1869 Park Road, N.W. Washington, D.C. 20010	2. Registration No. None <b>5185</b>
---	--

3. Name of foreign principal Embassy of El Salvador	4. Principal address of foreign principal 2308 California Street, N.W. Washington, D.C. 20008
--	---

5. Indicate whether your foreign principal is one of the following:

- ☒ Foreign government
- ☐ Foreign political party
- ☐ Foreign or domestic organization: If either, check one of the following:
- |                                      |  |
|--------------------------------------|--|
| <input type="checkbox"/> Partnership | <input type="checkbox"/> Committee             |
| <input type="checkbox"/> Corporation | <input type="checkbox"/> Voluntary group       |
| <input type="checkbox"/> Association | <input type="checkbox"/> Other (specify) _____ |
- ☐ Individual-State nationality \_\_\_\_\_

6. If the foreign principal is a foreign government, state:

- a) Branch or agency represented by the registrant. Embassy of El Salvador in U.S.
- b) Name and title of official with whom registrant deals. Ambassador Ana Cristina Sol

7. If the foreign principal is a foreign political party, state:

- a) Principal address. None
- b) Name and title of official with whom registrant deals.
- c) Principal aim

---

8. If the foreign principal is not a foreign government or a foreign political party,

a) State the nature of the business or activity of this foreign principal

None

b) Is this foreign principal

Supervised by a foreign government, foreign political party, or other foreign principal Yes ☐ No ☐

Owned by a foreign government, foreign political party, or other foreign principal Yes ☐ No ☐

Directed by a foreign government, foreign political party, or other foreign principal Yes ☐ No ☐

Controlled by a foreign government, foreign political party, or other foreign principal Yes ☐ No ☐

Financed by a foreign government, foreign political party, or other foreign principal Yes ☐ No ☐

Subsidized in part by a foreign government, foreign political party, or other foreign principal Yes ☐ No ☐

---

9. Explain fully all items answered "Yes" in Item 8(b). *(If additional space is needed, a full insert page must be used.)*


None

---

10. If the foreign principal is an organization and is not owned or controlled by a foreign government, foreign political party or other foreign principal, state who owns and controls it.

None

---

Date of Exhibit A 6/11/97	Name and Title Rick Swartz, President	Signature 
------------------------------	--	---

---

Exhibit B  
To Registration Statement  
Pursuant to the Foreign Agents Registration Act of 1938, an amended

INSTRUCTIONS: A registrant must furnish as an Exhibit B copies of each written agreement and the terms and conditions of each oral agreement with his foreign principal, including all modifications of such agreements, or, where no contract exists, a full statement of all the circumstances by reason of which the registrant is acting as an agent of a foreign principal. One original and two legible photocopies of this form shall be filed for each foreign principal named in the registration statement and must be signed by or on behalf of the registrant.

Privacy Act Statement. Every registration statement, short form registration statement, supplemental statement, exhibit, amendment, copy of informational materials or other document or information filed with the Attorney General under this Act is a public record open to public examination, inspection and copying during the posted business hours of the Registration Unit in Washington, D.C. One copy of every such document, other than informational materials, is automatically provided to the Secretary of State pursuant to Section 6(b) of the Act, and copies of any and all documents are routinely made available to other agencies, departments and Congress pursuant to Section 6(c) of the Act. The Attorney General also transmits a semi-annual report to Congress on the Administration of the Act which lists the names of all agents registered under the Act and the foreign principals they represent. This report is available to the public. Finally, the Attorney General intends, at the earliest possible opportunity, to make these public documents available on the Internet on the Department of Justice World Wide Web site.

Public Reporting Burden. Public reporting burden for this collection of information is estimated to average .33 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to Chief, Registration Unit, Criminal Division, U.S. Department of Justice, Washington, DC 20530; and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, DC 20503.

1. Name of Registrant  Swartz and Associates, Inc.	2. Registration No.  None  5185
3. Name of Foreign Principal  Embassy of El Salvador	

Check Appropriate Boxes:

4. ☐ The agreement between the registrant and the above-named foreign principal is a formal written contract. If this box is checked, attach a copy of the contract to this exhibit.
5. ☒ There is no formal written contract between the registrant and the foreign principal. The agreement with the above-named foreign principal has resulted from an exchange of correspondence. If this box is checked, attach a copy of all pertinent correspondence, including a copy of any initial proposal which has been adopted by reference in such correspondence.
6. ☐ The agreement or understanding between the registrant and the foreign principal is the result of neither a formal written contract nor an exchange of correspondence between the parties. If this box is checked, give a complete description below of the terms and conditions of the oral agreement or understanding, its duration, the fees and expenses, if any, to be received.

7. Describe fully the nature and method of performance of the above indicated agreement or understanding.

See Item 8 below.

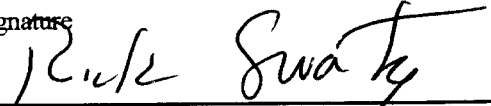
8. Describe fully the activities the registrant engages in or proposes to engage in on behalf of the above foreign principal.

Registrant will advise and represent the foreign principal in connection with its activities related to persuading U.S. government officials that the 1996 Immigration Act does not apply retroactively to certain El Salvadorans now residing in the United States.

9. Will the activities on behalf of the above foreign principal include political activities as defined in Section 1(o) of the Act and in the footnote below? Yes ☒ No ☐

If yes, describe all such political activities indicating, among other things, the relations, interests or policies to be influenced together with the means to be employed to achieve this purpose.

This representation may include communicating or assisting the foreign principal in its communication with U.S. Government officials, the media and the public regarding legislative and administrative or policy actions that affect the current and future interests of the foreign principal.

Date of Exhibit B	Name and Title	Signature
6/11/97	Rick Swartz, President	

Footnote: Political activity as defined in Section 1(o) of the Act means any activity which the person engaging in believes will, or that the person intends to, in any way influence any agency or official of the Government of the United States or any section of the public within the United States with reference to formulating, adopting, or changing the domestic or foreign policies of the United States or with reference to the political interests, policies, or relations of a government of a foreign country or a foreign political party.

# RICK SWARTZ & ASSOCIATES

1869 Park Road, NW  
Washington, DC 20010  
E-mail: RickSwartz@aol.com

Tel: (202) 328-1313  
Fax: (202) 797-9856

May 20, 1997

Ambassador Ana Cristina Sol  
Embassy of El Salvador  
2308 California Street, NW  
Washington, DC 20009

RE: Proposal for Migration Project, Political Support and Legal Assistance.

Dear Ambassador Sol:

Thank you for requesting a proposal on migration issues.

Outlined below is a three stage proposal to assist you and Salvadoran nationals in the United States in responding as effectively as possible to recently enacted US immigration and health and welfare legislation, and other major migration concerns. When countersigned by you, this letter will represent a contract between Swartz & Associates, Inc., and the Government of El Salvador.

## Background

We discussed several specific priorities and strategies recently when we met together with the Salvadoran Migration Commission, and later at the Embassy and by phone. Rather than rehearse these discussions or otherwise try to propose specific strategies at this time, in my judgment it is important that we first identify the range of your relevant concerns, set priorities, consider which may be concerns shared by other interests, conduct a rigorous political assessment of prospects for success and the scope of effort required, and then set forth a fully considered analysis and concrete action plan based upon such a review.

The proposal outlines services in three general areas:

- Political analysis, advice and support to the embassy and allied groups;
- Legal analysis, advice and backup legal support to the Salvadoran embassy and consulates as needed;
- Advice and assistance to help newly appointed Migration Commission, the Salvadoran private sector and Salvadoran organizations in the US participate more effectively in advocacy and otherwise respond to the new laws.

If this proposal is accepted, I would seek the assistance of Hogan & Hartson, a very prominent law firm, Michael Maggio, a widely respected immigration attorney, and perhaps the Merrit Group, a lobbying firm with close ties with the Republican Congressional leadership. The client for this matter could be the embassy, the newly appointed Migration Commission, and/or Salvadoran organizations in the US. Subject to advice of my attorneys, I do not believe this would require registration as foreign agents, at least not for the initial work as outlined below.

Although the approach presented reflects Salvadoran specific issues, a number of priority concerns also affect nationals of many other countries. Some, perhaps a great deal of the required work might be undertaken in coalition with other countries and/or institutions, both US based and international. Such possibilities would be actively explored immediately, should we go forward.

I would propose to organize the project in three stages:

- Development of concrete strategies, options and work plans to address priority needs (by June 15).
- Implementation of approved work plans for an initial six months (June 15-November 15).
- Establishment of a permanent project if initial successes / ongoing needs require (November 15- ).

Stage One (By June 15)

I would propose an initial retainer of \$30,000 to cover stage one of the proposed project, which would:

1. Establish priority political goals and develop concrete strategies and a work plan to achieve them,
2. Identify priority legal issues, prepare initial legal analysis and options, and develop plans to provide backup legal assistance to the Embassy and consulates,
3. Develop concrete plans, in consultation with appropriate Salvadoran leaders living in the United States, on how best to assist Salvadoran organizations and communities respond to the new law and participate in political efforts to change them.
4. Explore prospects for coalition approaches and funding on some or many of the issues of concern to Salvadorans.

I estimate this work will require 3 weeks of intense effort. At the end of this period I will prepare written proposals for work, if authorized, to be carried out over the next six months, or until approximately November 1. This will enable you, and possibly other potential coalition partners, to determine by early June whether and how you wish to proceed, what level of activity is needed, and what support from me or others you may require.

During this initial stage, and included in the \$ 30,000 retainer, I propose we involve the firms mentioned above to assist in the required assessment of priorities and prospects for success, the development of political and legal strategies, and as needed, preparation of legal analysis of priority issues. Hogan & Hartson, which serves as counsel to my firm, has experts on lobbying and foreign registration requirements, international law and negotiations, and excellent professional relations with senior members of both parties, in the Congress and the Executive Branch. Michael Maggio is one of the premier immigration lawyers in the US, is highly versed in issues relevant to Salvadoran nationals, has represented Salvadoran nationals in many immigration proceedings and is experienced in providing backup legal advice and support to major

corporations and international interests. The Merrit Group is headed by Grover Norquist, one of the most influential Republican strategists with close ties to numerous conservative American organizations. I have long standing relations with each.

Upon completion of this initial assessment (around June 15) I will prepare a 6 months strategy detailing priorities, options to achieve them, and work required by you and other potential allies.

At that time, if requested, I will propose how I and the firms referenced above might participate, fee requirements and options, and otherwise how resources for this important undertaking might be developed. This letter proposal, if you accept, covers only work until June 15. Any further work will require a separate agreement and specific authorization from the Government of El Salvador.

Should you decide to proceed, I am prepared to begin immediately to organize the intense work required. Between now and June 15, the proposed team and I would of course be available to pursue immediate opportunities for progress, advise regarding upcoming meetings in the region and follow up, and otherwise assist as may immediately be required.

#### Stage Two (June 15-November 15)

The period June - November will be when the Congress will develop and consider possible changes in the new laws, and when the INS and other federal agencies will be proposing regulations and establishing new practices to implement the new laws. If you decide to proceed aggressively, a significant amount of work will be required by you, your staff, and Salvadoran organizations and leaders in the United States, often working in coalition with a range of other interests. Our fees would be determined by the kind of assistance you may request, and the amount of time required to effectively address your needs and objectives. I would propose to discuss fees for stage two on the basis of your decisions in this regard, as well as prospects for forging coalitions with others for aspects of the work.

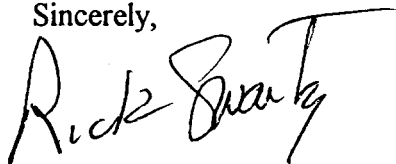
#### Stage Three (November 15- )

Based upon the success of efforts outlined above and the status of your priority issues, we would assess with you the need, if any, to establish a more permanent mechanism and project to help your government and the Salvadoran people address US immigration law and policy. I anticipate that much work may well be required on an ongoing basis, but that the amount of assistance you may require from us could diminish over time.

Beyond the initial \$30,000 retainer proposed for stage one, I am prepared to negotiate a fee arrangement for ongoing work you may request on either a retainer or hourly basis. My standard hourly fees are \$300 an hour.

I am excited about the opportunity to work with you on these important matters. As you know, since the early 1980s I have devoted some thousands of hours to efforts on behalf of Salvadoran nationals in the US, and to peace and prosperity for your people. I look forward to discussing this proposal with you in the near future, and would be pleased to answer any questions you may have. I have enclosed several articles on my past work on immigration for your consideration. Best regards.

Sincerely,

A handwritten signature in black ink, appearing to read "Rick Swartz". The signature is fluid and cursive, with a long horizontal stroke extending from the end.

Rick Swartz  
President

Accepted: \_\_\_\_\_

Government of El Salvador  
By Ambassador Ana Cristina Sol

Date: \_\_\_\_\_